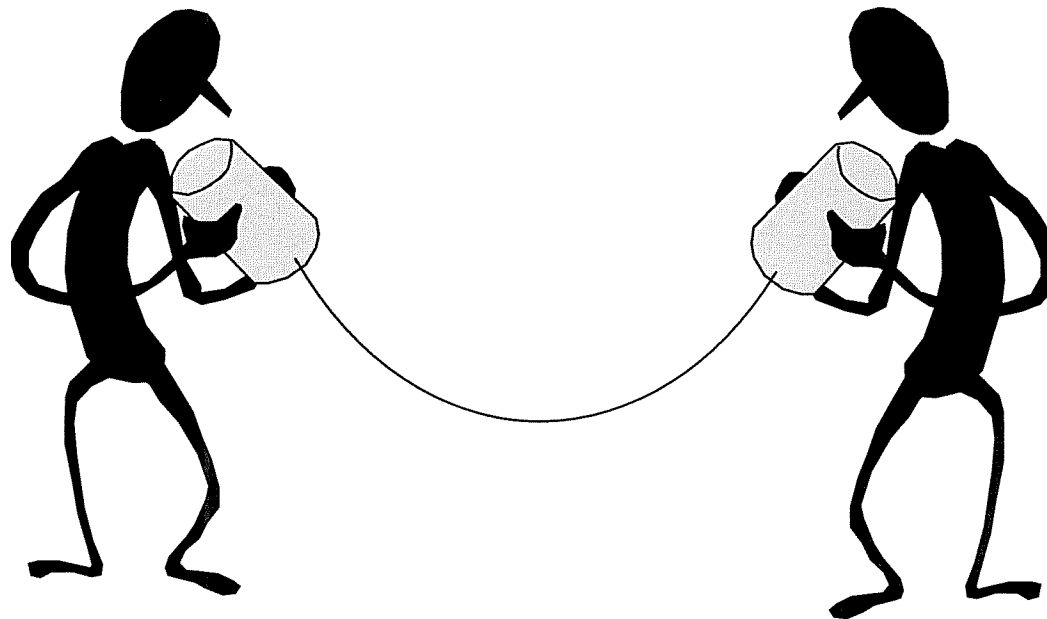


ARIZONA DEPARTMENT OF TRANSPORTATION
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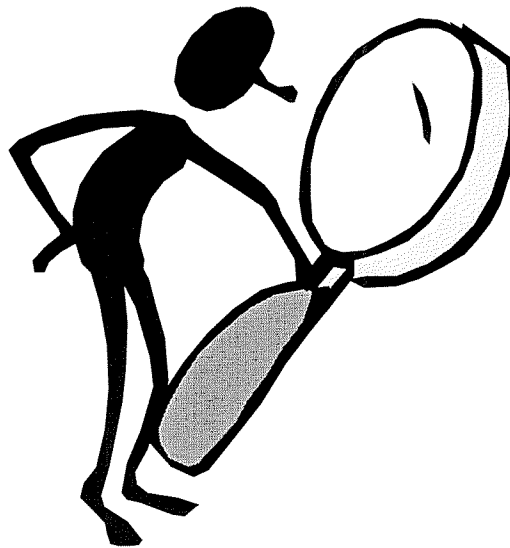


PARTNERING MEETING
FEBRUARY 9, 2006

ARIZONA DEPARTMENT OF TRANSPORTATION
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ISSUES TRACKING SHEET

CURRENT ISSUES



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PROCESS			
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P25	Access control management studies / policies	Carol Slaker	2
P28	New Standard Spec Book	John Carr	3
P30	Coordination of Geotech sub-consultants on consultant designed projects.	Jim Delton	4
P35	JPA Process and backlog.	Susie Tellez	5
P36	Formalize closeout process for construction and design projects.	Julio Alvarado	6
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COMMUNICATION			
ISSUE #	ISSUE	TEAM LEADER	PAGE #
C10	Integrating shareholder participation in NEPA process and public involvement in RFP process.	Sally Stewart & Matt Burdick	8
QUALITY AND DELIVERABLES			
ISSUE #	ISSUE	TEAM LEADER	PAGE #
Q1	Quality improvement of project deliverables.	TBD	9
SCHEDULE			
ISSUE #	ISSUE	TEAM LEADER	PAGE #
S6	Establishing and maintaining subprogram project schedules.	Mike Manthey	10

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Issue #	Date	Issue	Action Plan	Responsible Party	Target Date	Comments	Status
PROCESS							
P4	Jun-02	Project Development Process Manual Update	1)Have the manual available electronically. 2)Project submittal checklist process should be documented and implemented by the project team. 3)Include Issue Resolution Process and PRB Process.	Team Leader: Bob Miller	Jun-07	1)Timeframe 2)Distribution 3)Cost 4)Consensus 5)Resources 6)Use consultant on-call	Jun-05 Update provided at Dev/Ops Partnership meeting. Will include Quality Team recommendations to improve Development process. Need consensus on stage deliverables. Jul-04 Update provided at Dev/Ops Partnership meeting. Process review continues. TPD conducting project change process study reviewing role of PRB, PPAC, and Board.

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Issue #	Date	Issue	Action Plan	Responsible Party	Target Date	Comments	Status
PROCESS (CONTINUED)							
P25	9/11/03	Access control management studies / policies	1) Develop Statewide technical advisory committee. 2) Develop procedures for coordination with stakeholders. 3)Identify financial strategies and improve funding. 4) Develop Statewide access classification system. 5) Prepare comprehensive access guidelines and standards. 6) Address shortfalls identified for permitting process. 7) Establish new statutory provisions. 8) Include access management considerations in project selection and programming process in 5-year construction program. 9) Make previous access management studies part of overall statewide plan outlining priorities, implementation, and funding.	Team Leader: Carol Slaker Members: Arnold Burnham Mike Manthey Al Kattan AG - Bill Jamison Other TPD Members	Feb-07	Access management standard procedure is needed.	Information and schedule provided at http://tpd.azdot.gov/planning/am_statewideplan.php Workflow diagram developed. Jun-05 Presentation provided at Dev/Ops Partnership meeting. Scope of work completed. Work to begin Aug-05. Technical Advisory Committee being formed.

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Issue #	Date	Issue	Action Plan	Responsible Party	Target Date	Comments	Status
PROCESS (CONTINUED)							
P28	7/1/04	2006 Standard Spec Book	1) Identify paper format for book. 2) Offer electronically.	Team Leader: John Carr Members: Barry Crocket Robert Crowley	Dec-06	Consultant will be used. Supplemental specifications for special work is needed.	Jun-05 Presentation provided at Dev/Ops Partnership meeting. Advertisement expected January 2006. Finalized some specifications. Examined content options. Recruiting resources to assist with specifications. Jan-05 Verbal update provided at Dev/Ops Partnership meeting. Time constraints are challenge. Certain areas ready with changes. Other areas not as far along.

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Issue #	Date	Issue	Action Plan	Responsible Party	Target Date	Comments	Status
PROCESS (CONTINUED)							
P30	7/1/04	Coordination of Geotech sub-consultants on consultant designed projects	Establish policy that prime Geotechnical consultant, PM, & ADOT Geotechnical team member meet after selection & before NTP to discuss geotech issues.	Team Leader: Jim Delton Members: Bob Miller Susie Tellez Ron Casper Jim Romero John Lawson	TBD	Issues raised regarding consultants hiring sub-consultants without ADOT knowledge. Completed work not within guidelines. Jun-05 Presentation provided at Dev/Ops partnership meeting. Need further study to determine how to implement a multi-disciplinary process during scoping to identify critical issues on major projects. Jan-05 Verbal update provided at Dev/Ops Partnership meeting.	

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P35	7/1/04	JPA Process and backlog.	1) Implement ECS process changes by 1-15-06. 2) Eliminate JPA backlog by 10-1-05. 3) Complete team assignments by 11-1-05. 4) Update Procedures & Process manual by 12-1-05. 5) Continually measure, monitor, and report progress. 6) Access to billed or recovered JPA costs through JPA database by 1-15-06.	Team Leader: Susie Tellez Members: John Carr Cheryl Banta Dan Williams Arnold Burnham Rick Powers Randy Allenstein	TBD	Identified key issues and challenges. Defined roles of JPA staff, project manager, Financial Management Services in JPA process.	JPA process will be on-going issue. Meeting scheduled on 12/12/05 to discuss capturing payable and receivable information. Team meeting scheduled for 1/3/06. Jun-05 Presentation provided at Dev/Ops Partnership meeting. JPA Backlog elimination expected by Oct-05. Intranet access of Draft JPAs and Standard Paragraphs expected by Oct-05. Jan-05 Presentation provided at Dev/Ops Partnership meeting. Process

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Issue #	Date	Issue	Action Plan	Responsible Party	Target Date	Comments	Status
PROCESS (CONTINUED)							
P36	7/1/04	Formalize closeout process for construction and design projects.	1) Create Development Check List. 2) RE verify JPA is paid. 3) Provide financial info on JPA to RE.	Team Leader: Julio Alvarado Members: Jim Romero Craig Rudolphy	TBD	Projects are closed out while costs are still outstanding. RE and PM need to communicate.	Jun-05 Verbal update provided at Dev/Ops Partnership meeting. Created checklist. Jan-05 Verbal update provided at Dev/Ops Partnership meeting. Link being added to JPAs on contract card for RE to know status.
P38	6/29/05	Timeliness of audit feedback.		Team Leaders: Susie Tellez Members: Mickey Schwartz Jim Romero Bahram Dariush	TBD	Issues concerning subprogram projects.	First team meeting scheduled for 12/14/05.

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Issue #	Date	Issue	Action Plan	Responsible Party	Target Date	Comments	Status
PROCESS (CONTINUED)							
P39	6/29/05	Supplemental Agreement Tracking System (SATS) collecting additional data.	Create tracking sheet for corrective action.	Team Leader: Julio Alvarado Members: Mary Viparina John Lawson Bahram Dariush Carrie Satterlee Mike Manthey Mike Zimnick	TBD	Feed back not provided. Errors and omissions in system. Tracks data to identify problems.	Met three times. Reviewing SATS. Recommendations in Dec-05

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Issue #	Date	Issue	Action Plan	Responsible Party	Target Date	Comments	Status
COMMUNICATION							
C10	6/29/05	Integrating shareholder participation in NEPA process and public involvement in RFP process.		Team Leaders: Sally Stewart & Matt Burdick Members: Tammy Flaitz Sam Elters John Harper Steve Jimenez Dallas Hammit Perry Powell	TBD	Need to establish clear outlines for public involvement.	

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Issue #	Date	Issue	Action Plan	Responsible Party	Target Date	Comments	Status
QUALITY AND DELIVERABLES							
Q1	2001	Quality improvement of project deliverables.	1) Establish criteria to improve quality. 2) Follow-up process/quality audits. 3) Cross-functional strategy needed. 4) Staff/financial resource needed. 5) Replace members for Quality Team.	Team Leader: TBD Members: Sean Mc Nabb Barry Crockett Bob Miller Paul Hurst Myron Roison Perry Powell Julio Alvarado John Carr	TBD	Technical groups need to start with a quality plan. Advise technical groups of requirements / elements of a Quality Plan. All technical groups for project development process will be involved in the process improvement model.	Jan 11, 2006 Workshop for Senior Management held. Jun-05 Verbal update provided at Dev/Ops Partnership meeting. Continue training teams in 8 day-Improving Quality Through Process Analysis class. Jan-05 Verbal update provided at Dev/Ops Partnership meeting. Incentive Program assisting Training. Ready to move process to all technical groups.

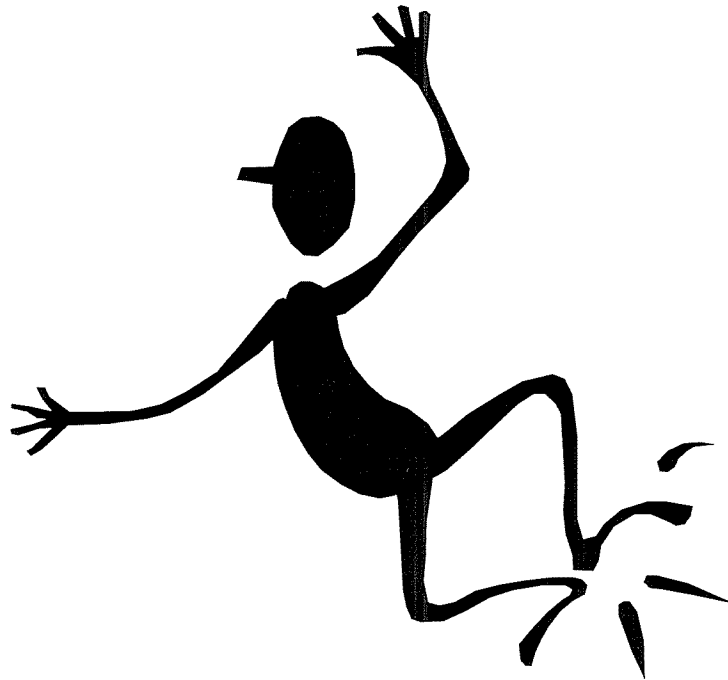
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Issue #	Date	Issue	Action Plan	Responsible Party	Target Date	Comments	Status
SCHEDULE							
S6	6/29/05	Establishing and maintaining subprogram project schedules.	Research previous program and subprogram projects to determine if projects met or exceeded timeline. Provide feedback if within ADOT control or outside issues.	Team Leader: Mike Manthey Members: Barry Crockett Tammy Flaitz Hari Khanna John Carr Bruce Vana Rick Powers Sabra Mousavi	Feb-06	Commit to delivery date before programming project.	Dec-05 Team has met three times to address programming or scheduling of projects from subprograms.

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P5	Some PMs lack organization, facilitation, and communication skills.	2
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PROCESS							
P1	2000	The current process is not being followed.	Need a report card at each stage.	Bob & Steve	L Team 6/29/00	Distributed the checklist. Received feedback suggesting need for accountability. Person/organization responsible for each item should be asked to initial each item.	Mar-01
P2	2000	Not sufficient development representation in districts.	1) Implement development positions in districts. 2) Establish 8 FTEs for required PMs. 3) Schedule meeting.	Construction staffing team. Jeff Swan Rural DEs and Bob Miller	Jul-00	TES have been hired in districts. Partnering meeting between SPMG and rural REs held 2/21/00. Quarterly meetings scheduled for April, July and October. Increase involvement with all PMs(Roadway, Environmental, R/W) and rural REs. Need better way to disseminate information throughout the org. Send copies of "issues list" and discuss in staff meetings.	Apr-01

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Issue #	Date	Issue	Action Plan	Responsible Party	Target Date	Comments	Completion Date
PROCESS (CONTINUED)							
P3	2000	Escalate issues quickly.		Ginger Murdough and Ops/Development Task Force Subcommittee; Mike Bruder, Bill Wang, Don Dorman	Apr-01	Information regarding quality has been added. Included in project delivery class. Bob Miller completed flow chart which will be attached to Active Project Status Report online. PRB will be involved in scope, schedule and budget issues. Interface guidelines for PRB involvement being developed by committee. Suggestion to use the current IT tools to manage the document process. Forms available on PPMS website.	Jun-01
P4	2000	Implement project deliverables, checklist at each stage.		Bob & Steve	April and June 2001	Include in scope of work for design contracts.	Jun-01
P5	2000	Some PMs lack organization, facilitation, and communication skills.	Establish training plan	Bob Miller Steve Jimenez Ginger Murdough Erika Martinez	6/29/00	1)Design Team with Carla Carter customized PM workshop. 2)Communication training pilot July 2002	Sep-01
P6	2000	Review and define technical group involvement		Bob Miller Perry Powell		Move forward getting technical organization schedules into process. Believe the responsibility matrix and schedules will ensure technical involvement present.	May-02

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Issue #	Date	Issue	Action Plan	Responsible Party	Target Date	Comments	Completion Date
PROCESS (CONTINUED)							
P7	2000	Programming Minor Projects		Team Leader: Rick Powers Mike Bruder Debra Brisk Ron Casper Arnold Burnham Doug Forstie Bob Miller John Louis	Should meet annually to review issue and process	6/2002 Committee meeting annually. Note: How does this process relate to the streamline of "simple" projects, or does it?	Jun-02 Ongoing
P8	2000	Alternative Contracting Methods		Ron Williams Tom Foster an RE			Jun-02
P9	2000	Establish accountability			Jun-00	All possible has been done for 2001. Working on 2002. Available on the intranet. Various ways to sort data. Will be able to identify the PM on projects; all key project people will be listed	Jun-02
P10	2002	Existing issue resolution process is not distributed and not everyone is aware of it. Issues are not being escalated.	1)PM must reinforce the use of the process during the "Design Kick-off Meetings." 2)Project team/PM will prepare the escalation ladder at kick-off meetings 3)Post the process and routing forms along with PRB forms on intranet 4)Everyone to complete the mandatory Project Delivery Class.	Team Leader: Bob Miller Steve Jimenez and John Louis Hari to post on PPMS Bill Alfier will advise District to follow process at July District/Ops meeting	Jun-02	1)Issue Resolution Process in place & will be reinforced in Communication Training Course. 2)Process needs to be disseminated and explained 3) Needs to be used. 4)Escalation tracking mechanism to capture lessons learned is needed. Note: The Issue Resolution Process is covered in the Project Delivery Training. Partnering classes include issue resolution and escalation concepts.	Jun-02 Training On-going

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Issue #	Date	Issue	Action Plan	Responsible Party	Target Date	Comments	Completion Date
PROCESS (CONTINUED)							
P11	2000	Scope/DCR Follow-through	1)Assign PM to stay with process through construction 2)Team to identify who, what, where, when and why 3)Team member list needs to be maintained through life of project	VPM / SPMG & Predesign, Traffic, Bridge, TMs		June 2002 - SR PMs / District liaisons assigned as scoping PM. District Minor has PM that follows project to end.	Jul-02
P12	2000	Consultant Evaluation Process		Cathy Hegel	6/13/02	Program managers able to access on July 15, 2002. Training beginning in August.	Jul-02
P13	2000	Right of Way Issues		Steve Hansen Don Dorman Julio Alvarado John McNary Rick Duarte Sponsor: Dan Lance		6/2002 R/W acquisition process streamlined to extent possible under state and federal laws and regulations. 7/2002 R/W Disposal Team working to streamline disposal process. Report and recommendations will be presented at future L-Team Meeting.	Jul-02
P14	Jun-02	Need access to updated program changes during the fiscal year	1)Electronic version should be made accessible. 2)Separate documents for original program and changes	Team Leader: Sam Maroufkhani and Arnold Burnham Sponsor: Dick Wright		Available on internet www.tpd.az.gov/pps/azpps .	Aug-02

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Issue #	Date	Issue	Action Plan	Responsible Party	Target Date	Comments	Completion Date
PROCESS (CONTINUED)							
P15	Jun-02	Escalation meeting agreements are not being honored	1)Ginger will customize the Introduction to Partnering Class for Development 2)Project team and PM will fully define the issue before escalating it. 3)PMs need to attend formal partnering training.	Team Leader: Ginger Murdough Sponsor: Steve Jimenez and Bob Miller	Jan-03	1)Do not change decision after issue is escalated and agreement determined. 2)Other issues need to be independently treated using their own escalation process NOTES: 1) Partnering classes are currently available through HRDC. 2)The issue of agreements not being honored needs to be addressed by managers and supervisors on exception basis.	Aug-02

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Issue #	Date	Issue	Action Plan	Responsible Party	Target Date	Comments	Completion Date
PROCESS (CONTINUED)							
P16	Jun-02	Roadway design requirements not being based on good roadway design practices/principles	Meeting held 9/27/02 at Tucson District office.	Team Leader: Sam Maroufkhani Sponsor: Dick Wright Team Members: Bill Higgins, Dan Lance, Dennis Alvarez, Larry Maucher, John Louis	Meeting by Oct-02	Meeting held September 27, 2002 in Tucson with Bob Miller, Dennis Alvarez, Larry Maucher, Bill Higgins, Dan Lance, Mark Dunbar, John Louis, and Sam Maroufkhani. Decision made to follow roadway design requirements. New RDG is being developed and will be re-issued after evaluation of using excessive higher standards than AASHTO requirements. 1)The Roadway Design Guide (RDG) is primarily for new/reconstruction. 2)Unlimited liabilities - need for standards. 3)Increased costs due to using higher standards than national standards (AASHTO). 4)Higher standards may need some backup research. 5)Inconsistent application of standards by designers.	Sep-02
P17	Jun-02	PMs understand their roles as it relates to technical design issues	1)PM training - the program should specifically identify roles and responsibilities, focus on limits of empowerment and identify (provide training in) the escalation process. 2) When technical issues are identified and no agreement is reached, then the escalation process will be followed.	Team Leader: Steve Jimenez Sponsors: Sam Maroufkhani and Dan Lance	May-03	1) PM training 2) Consistency 3)Roles and responsibilities 4)Limits on authority to make technical decisions 5)Follow issues through to final resolution	Mar-03 Training course titled Managing the Project Development Process.

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Issue #	Date	Issue	Action Plan	Responsible Party	Target Date	Comments	Completion Date
PROCESS (CONTINUED)							
P18	Jun-02	AG's office is negotiating R/W settlements outside of the design guides.	Draft letter from Dick to AG's Office. Develop formal process to identify ADOT requirements for R/W acquisitions and settlements. Requirements should include: 1)Appropriate representation from District and R/W during acquisition process. 2)Formally approved approach to negotiation position from R/W, District, Roadway.	Team Leader: Rick Rice Bill Higgins Dan Lance Sam Maroufkhani Sponsor: Dick Wright	Dec-02	1)Negotiated settlements violate R/W standards. 2)AG doesn't understand requirements, standard drawings, federal policies on access control. 3)Locations: AGs shop around for desired answers.	1st letter completed 1/9/03; follow up 2nd letter 2/18/03; Memo to DEs 2/18/03
P19	Jun-02	Environmental mitigation measures need uniformity on like issues	1)Produce guidelines of best practices. 2)Hold brown-bag lunches with the Districts.	Team Leader: Tammy Flaitz Sponsor: Rick Duarte	Report to L-Team 3/27/03	1)Categorize the various mitigation issues. 2)Establish a "best practices" list. 3)Include all agency considerations. 4)Internal team consensus.	Feb-03 Copies distributed at L-Team 3/27/03
P20	Jun-02	Need streamlined process for "simple" projects.	1)Customize PDP for simple projects. 2)Try to use same consultant for scoping & design.	Team Leader: Mike Bruder Sponsor: Dan Lance, Bill Higgins, Sam Maroufkhani	Jun-03	1)Define simple project 2)Process should be reflected in Manual update 3)Should not involve R/W and minimal Utility and Environmental	Mar-03 Same consultant for scoping in District Minor and Enhancement projects. Process flowchart provided to PMs.

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Issue #	Date	Issue	Action Plan	Responsible Party	Target Date	Comments	Completion Date
PROCESS (CONTINUED)							
P21	2000	Joint Project Agreements Process	1)Holding weekly data base meetings 2)Making revisions daily 3)Implementing recommendations in daily work	Team Leader: John Carr Sponsor: Sam Maroufkhani	On-going	11/12/02 ECS JPA/LA database system implemented. Oct-02 Joint Projects Agreement process being reviewed by Director's Office for agency wide policy.	Presentation given at 9/11/03 Ops/Dev Partnership meeting. 11/12/2002
P22	Jun-02	Environmental mitigation measures required within permits are not adequately addressed in the contract documents.	1) Project Reference Notebook used on projects located on Land Management Agency properties. 2)Environmental mitigation measures filed in notebook.	Team Leader: Bob Miller Sponsor: Sam Maroufkhani Team Members: Barry Crockett, John Louis, Rick Duarte, Ron Casper, Bill Alfier, Sam Elters	Jun-03	1)Permit requirements doled out after award of contract results in all new construction requirements with no plans or specs. 2)Plans do not conform to Environmental Assessment. 3)Specifications lack enforcement mechanism 4)Coordination with other agencies USFS, BLM, AZLD, Corps, Tribes, NPS. 5)Maintaining permit requirements after project completion.	Feb-03 Follow up meeting will be held to assure issues are answered in Project Reference Notebook.
P23	Jun-02	R/W plan and Roadway plan development need to better coordinate	1)R/W and Design Section managers emphasize attendance at project meetings. 2)R/W involved at quarterly PM meetings.	Team Leader: Steve Hansen Sponsor: Sam Maroufkhani and Dan Lance Team Members: Jim Romero, Bob Miller	Jun-03	1)R/W staff not always aware of design changes 2)Late and on-going design changes 3)R/W acquisitions delayed	Mar-03 Processes have improved by attending meetings. Need continued communication.

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Issue #	Date	Issue	Action Plan	Responsible Party	Target Date	Comments	Completion Date
PROCESS (CONTINUED)							
P24	Jun-02	Lack of compliance with Project Development Process	1)Training course to discuss processes on clearance issues and procedures - Environmental, R/W, URR.	Team Leader: EPG, R/W, URR Group Manager Sponsor: Sam Maroufkhani	Jun-03	1)Outdated manual 2)No accountability 3)Incomplete stage deliverables (materials memo) 4)Late design changes (R/W impacts) 5)Clearance sections - lack of knowledge of project existence and late involvement 6)Lack of training 7)Senior Management directing incomplete submittals	Sep-03 Presentation given at 9/11/03 Ops/Dev Partnership meeting. Aug-03 URR training developed. Jul-03 Right of Way training developed. Mar-03 Environmental Planning conducted training at various Districts.

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Issue #	Date	Issue	Action Plan	Responsible Party	Target Date	Comments	Completion Date
PROCESS (CONTINUED)							
P26	2000	Permit Review, Approval and Closure Process	1)Prepare flow chart of permit process. 2)Review permits process procedure.	Team Leader: Dennis Alvarez Team Members: John Hauskins Dan Williams Steve Jimenez Jim Romero Tucson and Prescott District representatives	Revised: Jan-04 Previous: Jun-03	Permit Process on Tucson District's website: www.dot.state.az.us/ROADS/tucson/permits.htm . ASPIRE Team working to define problem. Need direction from DEs. To be discussed at next District Operations Meeting. Dec-03 Update provided at 12/1/03 Ops/Dev Partnership meeting. Final revision expected after DE meeting. Sep-03 Presentation given at 9/11/03 Ops/Dev Partnership meeting. Aug-03 Incorporating various district permit processes into one document. Presentation to Statewide Permit Supervisors in September 2003.	Apr-04

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PROCESS (CONTINUED)							
P27	Jun-02	Post-design costs / services tracking system	1)Provide task orders to REs and provide cross-reference to task order on payment voucher. 2)Authorized by the PM and RE.	Team Leader: Bob Miller Sponsor: Sam Maroufkhani	Previous: Spring 2004 Previous: May-03	Post Design continuing improvement. Cost tracking no longer needs tracked. PM to use existing process. Working with ECS to automate PDS work order process. Working towards developing web-based application for Development Cost Tracking System. 1)Who authorizes? 2) What are the criteria for authorizing? 3)How is task order (TO) communicated?	Jul-04
P29	7/1/04	Streamline TRACS # - 9999 Projects		Team Leader: Steve Jimenez Members: Bob Miller Arnold Burnham Julio Alvarado Dave Allocco	Jul-05	Agency issue. Financial Management Services management level review.	Jun-05 Implementation to begin Aug-05

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P31	7/1/04	Multiple on-calls on one project.	Treat this as philosophical issue. Manage at Development Group managers meeting.	Team Leader: Bill Lyons	Provide report at next Dev/Ops Meeting	On-calls viewed as extension of staff. Consultant team members need to be accountable for both schedule and quality. Group Manager needs to assure both Project Team and Group Goals are met by holding Consultant Contract Manager and Consultant accountable for satisfying both Project Team and Technical Area requirements.	Removed from current issues Jan-05. Will be addressed as issues arise. Related to previous experience on major project.
P32	7/1/04	Route # and Milepost group.	Team will review and make recommendation by December 2004.	Doug Forstie Arnold Burnham Mike Manthey	Dec-04		Removed Jan-05. Will be addressed as issues arise.
P33	7/1/04	Roadway Design problems competing with on-call consultants.	1) Consider internal process changes in Roadway Design & Predesign to accommodate District Minor process model. 2) Streamline procedures to have technical Leader in Design Section work closely with Predesign Section and take responsibility for delivering scoping and design deliverables.	Team Leader: Bill Lyons Members: Mike Manthey Jim Delton Ron Casper Bahram Dariush Arnold Burnham Bob Miller Steve Mishler	Dec-05	Benefits of in-house design include providing design experience to EIT and reduced costs compared to consultant. District sees benefit having same engineer prepare scope as well as final plans. Also, On-call consultant completes design on fast track before project is programmed.	Dec-05 Steps taken to retain design projects in-house.

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PROCESS (CONTINUED)							
P34	7/1/04	Standardize C & S bid package for routine construction projects.	Develop C & S Quality Plan. Provide guidance to consultants.	Team Leader: Barry Crockett Members: Dave Allocco Julio Alvarado Mike Manthey		There are issues combining projects and quality of consultant specs.	Removed Jan-05 . Discussed issue at Dev/Ops Partnership meeting. Issue not clearly identified.
P37	1/27/05	S999	Work through FMS to establish team.	Sponsors: Dan Lance Sam Maroufkhani			Removed Jan-05. Not ITD issue. Periodic updates will be provided through FMS.

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SCOPE (DCR, PA, SCOPING LETTER)							
D1	2000	Lack of consensus on type of scoping document needed	Requestor will make recommendations for assessment document type. If Pre-Design agrees, the assignment is made. If Pre-Design disagrees, the requestor is called.	Requester Pre-design		Implemented. Scoping report type will be on PM request. DE will comment on report type selected by Pre-design.	Complete
D2	2000	Consultants arbitrarily set field reviews	Consultant to contact key people prior to scheduling	Pre-Design Herman Mozart		Predesign on-calls have been informed to speak with DE prior to setting up meeting. Need to improve communication flow.	Complete and ongoing
D3	2000	Insufficient information on project request form	1) Review form for possible improvements 2) Team to determine extent of review and elements required	Bob Miller Sam Maroufkhani Steve Jimenez		Form revised 6/2002. Continuing review as part of scoping process improvement. DEs to state objectives.	Jun-02
D4	2002	Late changes to project scope.	1)Minimize scope/design changes 2)Obtain buy-in from affected task managers and outside stakeholders. 3)Implement a value analysis process to assess cost benefits of proposed change 4)No changes after 60% unless absolutely necessary.	Sponsors: Sam Maroufkhani and Dan Lance	Oct-02	Prepare letter from Dick to DEs and GMs. Letter completed and mailed 10/22/02.	Oct-02
D5	2000	Deferring major issues to the design phase	Scope first or program first	Sr Leaders (SEO) need to set policy		1)Major issues need to be resolved under scoping process. 2)Disagreement should be escalated through escalation process.	Feb-03 Project must be scoped first before being programmed.

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SCOPE (DCR, PA, SCOPING LETTER) (CONTINUED)							
D6	2002	Lack of accurate and complete scoping estimates	1)Train pre-design staff, consultants, and project teams for better implementation estimates. 2)Evaluate estimate format and update. 3)C & S gathering data for cost history book. 4)Include all project elements 5) Include input from appropriate technical disciplines 6)Include utility prior rights 7)Include R/W costs 8)Include Environmental components 9)Include "below the line" items such as incentives, etc. 10)Implement Budgeting Team recommendation.	Team Leader: Mary Viparina Sponsor: John Louis	Revised: 09/01/03 Previous: Jul-03	Aug-03 New estimate format in place. Predesign memo outlining new procedure will be issued to all who do scoping documents by September 1, 2003. Feb-03 Scoping documents now include mobilization costs and project contingency percentage is applied to estimate subtotal. Using technical disciplines input such as Traffic Control items.	Sep-03 Presentation given at 9/11/03 Ops/Dev Partnership Meeting.

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SCOPE (DCR, PA, SCOPING LETTER) (CONTINUED)							
D7	2002	Scope and schedule sub-program projects	1) Identify sub-process in 6-months. 2)Reconsider \$50K threshold (AGC) new contracting method. 3)Distribute list of proposed projects to affected groups as projects are developed (for each sub-program). 4)Publish program amendments.	Team Leaders: John Louis Team Members: Jim Delton Mike Manthey Mike Bruder Rick Powers Pe-Shen Yang Jean Nehme Sponsor: Sam Maroufkhani	Previous: Spring 2004 Previous: Jan-04 Previous: Jun-03	1)Data availability by groups other than owner 2)Development time too short 3)Date not set until ready for bid 4)Programming changes/ methods 5)Program owner changes program without informing all affected Groups/Districts 6)Districts unaware of projects until bid 7)Scoping not well defined 8)Follow Pre-design process	Jul-04 Move to inactive status. Revisit after law changes. #1.Team meeting held in August 2003. #2. Requires legislation. #3. Completed. All subprogram projects are discussed at Development / District meetings. #4. Completed. Program amendments are updated on TPD website.
D8	9/11/03	Project creep	Monitor Stage II changes for previous year on advertised projects to collect data. Manage scope changes.	Team Leader: Bob Miller Members: Tammy Flaitz Steve Jimenez Mary Viparina Sean McNabb Hari Khanna Dave Allocco Steve Hansen	Revised: To be determined Previous: Feb-04	20% of approved PRB changes were after Stage II.	Removed Jan-05 Continue to monitor.

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SCHEDULE							
S1	2000	The bid date is driving the project. No realistic schedules to define intermediate milestones. No commitment to meet the milestones.				Realistic schedules are being put together by project team.	Jun-01
S2	2000	Scoping document should show preliminary activities, durations, and relationships	Distribution of schedule report	PMs , project team, George	5/12/00	Meeting held with Pre-Design and SPMG to establish process for appropriate development time date in scoping documents.	Completed
S3	2000	Schedule will be evaluated during project delivery process and after project is awarded.	Develop team to address the reporting; reading of reports for Team members, PM, Technical Manager	Bob, Steve	6/1/00	SPMG is providing assistance to PMs, TMs & TIs in reading and understanding reports. Refresher course each Wednesday at 1:00 PM.	Jun-01
S4	2000	Every project has a realistic schedule in Primavera	Project scheduling information is distributed	Bob, Steve	7/1/00 6/1/00	All projects have customized schedules within six weeks of design phase kick-off meeting.	Ongoing
S5	2000	Assure all projects have complete schedules including all activities	Identify steps, process to implement	Bob, Steve	6/1/00 6/30/00	Schedules included in project kick off. 2002 requirement to have schedule 15 working days after Partnering kick-off workshop. Active Project Status Report shows schedule. Designers need access to intranet.	2002

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RESOURCES							
R1	2000	Consider parallel processes in: 1)Right of Way 2)Environmental 3)C & S 4)Utilities	Each area evaluate its own needs	Managers of areas	Aug-00		2000
R2	2000	Funding project changes		Ron Williams		\$3M projects eligible for construction. 6/2002 Ron ensured there was enough money in project fund.	Oct-00
R3	2000	Broaden the consultant base.		Cathy Hegel and team	Dec-00	Contracts in place with 50 firms.	Apr-01
R4	2000	Assess skill shortages to meet program requirements		Bill Higgins, HRDC, Training coordinators	Jun-01		Jun-01
R5	2000	Supplement resources		John Hauskins	Dec-01	All appropriate work completed	2001
R6	2002	Rest Area funding	1)Provide dedicated Operations/Construction funding through the Transportation Board. 2)Construct and operate by non-ADOT entity. 3)Adopt-A-Rest Area program	Team Leader: John Louis Bill Alfier Jim Dorre Sponsor: Sam Maroufkhani Bill Higgins		LeRoy Brady reported to Transportation Board.	2002

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RESOURCES (CONTINUED)							
R7	2002	Adherence to a resource-driven customized schedule.	1)Develop measure of ADOT resources and utilize consultants for excess. 2)Use resource modeling to determine actual work hours. 3)Use project management tools. 4)Re-evaluate project scope and schedules at stage submittals.	Team Leader: Sean McNabb Members: Pe-shen Yang Jean Nehme Dave Allocco Rick Duarte Bob Miller Mike Manthey	Revised: Dec-04 Previous: Jan-04 Previous: Jun-03	Coordinate with other groups to establish steering team to communicate issues and ideas for future projects. Identify process first. Improves communication. Raises moral and empowers employees. Set up measutremets to see if meeting customer expectations.	Removed Jan-05. On-going process. Presentation provided at Dev/Ops Partnership meeting. Identifying standard tasks and activities to be used for resource planning. Planned Pilot completion Jun-05.

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QUALITY AND DELIVERABLES							
Q1	2000	Review and comment resolution				Not enough information to be able to track issue.	Ongoing
Q2	2000	QA/QC Manual(process) with technical leads.	1)Complete submittal requirements (check list) 2)Issue paper on "constructability".	Steve, Cathy, Bob Miller, Ron Williams, Julio, Mark Dunbar, Dave Allocco	2000	Checklist completed. Review existing papers on constructability by March 2001. Ron Williams obtaining new AASHTO paper on subject to send to group managers.	Referred to Quality Team in 2002
Q3	2000	Implement quality as part of each design contract	1)Quality Team will establish criteria.	Team Leader: Bob Miller Members: ECS, Technical Units, Project Management & Consultant community	Revised: To be determined Previous: Jan-04	Quality Team will review. Include review in the quarterly meetings with REs and PMs and with new project teams.	Removed Jan-05. On-going process. Dependent on criteria established by Quality Team. Jul-04 Update provided at Dev/Ops Partnership meeting. Quality requirements needed from each technical area. Project Management Quality Team is mapping as-is processes, developing customer questionnaires.

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Issue #	Date	Issue	Action Plan	Responsible Party	Target Date	Comments	Completion Date
BUDGET							
B1	2000	Consultant design		ACEA Working Committee		Not enough information to be able to track issue.	
B2	2000	Design		Sam , Cathy	Dec-00	Not enough information to be able to track issue.	
B3	2001	Budget issues being addressed by several teams	Teams developed: 1.Overall Project Budget 2.Supplemental Agreement Process 3.Financial Management, VPM, SPMS, ETG Partnering 4.Standardize Agreement Estimate 5.JPA	1.Bill Higgins 2.Julio Alvarado & Tom Foster 3.David Allocco 4.Barry Crockett 5.N/A		3. a)New form developed for financial tracking. b)Certain Change Order copies are forwarded to Financial Management Services (FMS). c)New Engineering and Contingency cost estimates matrix being developed. d)JPAs will include cost estimates. e)JPAs forwarded to FMS for information. f)Local governments to be kept informed of additional funding needs. g)Construction Group's web site will show project original estimate. 4. a)New standardized Agreement Estimate Recapitulation sheet developed. 5. a)Including language in agreements: "not to exceed" amount for ADOT when Local is constructing; and b)requiring Local to provide funds upon execution and invoicing. Meeting held on September 17, 2002, to discuss status of all Budget	1. Presentation 5/22/03 L-Team Meeting 2. Testing Supplemental Agreement Tracking System (SATS) Database. Expecting completion in Mar-03 Presentation given at 9/11/03 Ops/Dev Partnership meeting. 3.Completed Feb-03 4.Completed Feb-03 5.Completed new policy.

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BUDGET (CONTINUED)							
B4	Sep-03	Reduce supplemental services contracts.	Evaluate the replacement of consultants with ADOT full time employees.	Team Leader: Sam Maroufkhani Members: Dan Lance Doug Forstie Sponsor: State Engineer	Spring 2004	Employees leave ADOT to work for cities, towns, and counties. Dec-03 Update provided at 12/1/03 Ops/Dev Partnership meeting. FY05 Budget requests funding pay plan.	Jul-04 Remove from tracking sheet. Periodic updates will be provided at meetings.

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COMMUNICATION							
C1	2000	Focal point district/development	One PM for each district.	DE/PM/TM/GM Program Managers	Sep-00	SPMG has assigned a Sr PM to each District for continuity and coordination.	Dec-00
C2	2000	Provide technical video links to rural districts. Need video conferencing room at HQ and equipment in districts.	Team to identify cost, features, location, etc.	TIG, Tim Wolfe	Dec-00	Green Room remodeled for video conferencing. Phoenix, Tucson and Flagstaff completed Mar-01. Yuma, Prescott, and Globe completed Oct-01. Holbrook, Kingman, and Safford need line improvements by the phone companies.	Completed
C3	2000	Utilize technology for communication	Review by each group.	TM			Mar-01 Ongoing
C4	2000	External communication	Team established -set framework -external individuals -stakeholders	Bob Miller, John Carr, Arnold Burnham, Traffic, Roadside, Bridges, Pavement Preservation, Geotech	Apr-01	Lump sum program scoping needs to be more clearly defined. John Carr will follow up. Need more participation from subprogram managers.	Jun-01
C5	2000	Need a list of team members & stakeholders on all active projects.	Need to cover from scoping to maintenance.	SPMG, Debra, Rick, John, Bob, Tom, Ron, Dennis, et al		Being utilized at this time.	Jun-01
C6	2000	Meeting attendance.	Flexible meeting schedule needed.	SE MIS/VPM		PM report has key members listed. More work being done by SPMG	Jun-01 Ongoing
C7	2000	Communication to the public.	1)Review for PR item in development stages 2) PR item in construction contracts	PM District		Process in place.	Jul-01

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COMMUNICATION (CONTINUED)							
C8	2001	Need to establish responsible team members/PM at the beginning of scoping. Team member list needs to be maintained through the life of the project.	Keep same PM on project when possible.	VPM/SPMG & Predesign, Traffic Bridge, TMs		June 2002 - SR PMs / district liaisons assigned as scoping PM. District Minor has PM that follows projects to the end.	Jun-02
C9	2001	Communication during field construction.	1) Ops through RE meeting 2)Development to work w/PMs and responsibilities 3)Project partnering to PM 4) Informal communications	Debra , Bob SPMG		Development Group Managers meet with each District for projects review which is improving communication. Construction / design changes of \$25,000 require the RE to contact the PM.	Jun-02

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ORGANIZATIONAL ISSUES							
O1		PEP Scale/Process		Team Leaders: Mike Bruder, John Hauskins, Gary Sharp Sponsor: Ginger Murdough		Both design and construction will use the same scale. PEP process in development is included in the current process training class.	Oct-01
O2	2002	Need Data Warehouse information available to Districts.	1)Complete on schedule and include on-going data maintenance. 2)Have Doanh give update at team meeting.	Team Leader: Doanh Bui Sponsor: Frank McCullagh	7/25/02 L-Team	Process underway by TPD	Jul-02 Ongoing
O3	2002	Rebuild in-house capabilities	1)Continue to work for alternative pay plan. 2)Recognize/reward expertise. 3)Specific requirements for advancement for each level within pay grades (years of service - demonstrated expertise) 4)Summer Inter Program important to see a lot of Engineers. 5)Training. 6)Retain, emphasize the EIT program. 7)Recruit at universities. 8)Specific training to advance in levels. 9)Tie between training-seniority-salary. 10) Consider incentive pay for Development.	Team Leader: Erica Martinez Sponsor: Sam Maroufkhani and Bill Higgins		1) State salary structure. 2)Training costs/resources (general training vs. speciality training. Not ready to manage consultants.) 3)Agency reputation. 4)Legislative/agency commitment to program delivery. 5) Retirements (gap in mid-range). 6)Limited opportunity to advance vertically - promote diagonally. 7) Voluntary rotation (cross-training). 8)Need to establish rotational positions. 9)Mentor program (voluntary - follow up, proper matches) (tie to career goals) supervisor support to allow time/resources.	Jul-02 Ongoing

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ORGANIZATIONAL ISSUES (CONTINUED)							
O4	2002	New name for ITD	Change to Highways Division effective 7/1/2002.	Team Leader: Dave Allocco Sponsor: Dick Wright		1.TPD separate division 2.AERO 3.Business cards/letterhead 4.State statutes 5.Signing of yards 6.Public perception 7. Primary business	Not an issue.
O5	2002	Development/Operations PEP forms.	1) Ginger Murdough and Sam Elters will customize the forms with the help of Liz Magoon and Steve Clark. 2) Sam Elters will present the new revision to the Dev/Ops team for review at the 7/25/02 meeting. 3) Use form to measure the progress of team and take action for improvements.	Team Leader: Sam Elters Sponsor: Dan Lance		Forms need to be customized to measure this team's progress. Need specific and clear sub-goals. PEP for Development projects will be made web-based. Completion expected in Spring 2003.	Oct-02 Update provided at L-Team

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ENVIRONMENTAL PLANNING							
E1	2000	Customer Service Survey		Staff Team		Survey created, conducted, and concluded February 2001.	Feb-01
E2	2000	Clarifying roles and relationships with Natural Resources.	Working with Natural Resources and Roadside Development			Clarification of roles and responsibilities with Natural Resource was completed.	Jun-01
E3	2000	Need better tracking system	1)Link overall project scheduling eliminating redundancy. 2)Funding allocated.	Team Leaders: Rick Duarte Tammy Flaitz		1)Using interim database project as of 2/2002. 2)Long term, joint project with ITG(PPMS and Environmental Planning Group) started in June 2002 with project tracking. 3)Database ties into Primavera. Interim database continues to be utilized by EPG staff. Creating SQL server based database to improve project tracking capabilities. Project tracking function will interrelate with project schedule requirements.	Feb-05

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E4	7/1/04	Noise Documentation	1)Document before and after construction. 2)Identify resources. 3)Provide Certification training program. 4)Utilize EITs, interns, and resources outside state.	Team Leader: Mike Dennis Members: Dan Lance		Five phases of Quiet Pavement Pilot Program completed. QPPP Progress Report # 1 published in Dec-2004. QPPP Progress Report # 2 published in Dec-2005. QPP Progress Report # 3 will be published in Spring 2006. There is no certification program available in technical noise field. Use of interns and EIT being considered. Noise Abatement Policy updated and FHWA approved and made effective on Dec. 5, 2005. Policy available on EEG website.	Dec-05